Livelink Records Management v2.5 by Open Text Corporation

Livelink Records Management Summary Report

The Joint Interoperability Test Command (JITC) tested Open Text Corporation's Livelink Records Management v2.5, a stand-alone records management application (RMA) at the Open Text facility in Ottawa, Canada from 11 through 22 November 2002. The implementation was verified using version 6.6 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

In addition, JITC tested Livelink Records Management v2.5 for compliance with Chapter 4, Management of Classified Records. All mandatory requirements of Chapter 4 were satisfied.

JITC performed follow-up testing of Livelink Records Management v2.5 for Solaris from 31 March through 4 April, 2003. The implementation was verified using version 7.0 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

In addition, JITC performed follow-up testing of Livelink Records Management v2.5 for Solaris for compliance with Chapter 4, Management of Classified Records. All mandatory requirements of Chapter 4 were satisfied.

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1. Product Identification

Livelink Records Management v2.5, hereafter referred to as Livelink Records Management, is a web-based RMA. It combines document management and records management. Livelink Records Management includes a Security Module that can be configured to handle the management of classified records. Organizations have the option of implementing Livelink Records Management with or without installing the Security Module.

2.   Test Configuration

The baseline test configuration consisted of:

- One personal computer (PC) running the Microsoft (MS) Windows 2000 Professional (SP3) operating system (OS), MS SQL Server 7, and MS Internet Information Server (IIS) 5. Installed software included Livelink Records Management v2.5.
- One client PC running MS Windows 2000 Professional (SP3). Installed software included MS Office 2000 (SR1), MS Outlook 2000 (SR1), MS Internet Explorer 6.0 (SP1), Netscape 7.0, and Netscape Communicator 4.74.
- One client PC running MS Windows XP (SP1). Installed software included MS Office XP Professional, MS Outlook 2002, Internet Explorer 6.0 (SP1), Netscape 7.0, and Netscape Communicator 4.74.

The baseline configuration for Livelink Records Management was tested with the Security Module installed.

In subsequent configurations, JITC repeated the certification test using alternate operating systems and database management systems, as well as without the Security Module. Table 1 summarizes all tested configurations.

The baseline test configuration for the March/April test consisted of:

- One personal computer (PC) running the Solaris 2.8 operating system (OS), Oracle 8.1.7, and iPlanet 6.0 (SP2). Installed software included Livelink Records Management v2.5.
- One client PC running MS Windows 2000 Professional (SP3). Installed software included MS Office 2000 (SR1), MS Outlook 2000 (SR1), MS Internet Explorer 6.0 (SP1), Netscape 7.0, and Netscape Communicator 4.74.
- One client PC running MS Windows XP (SP1). Installed software included MS Office XP Professional, MS Outlook 2002, Internet Explorer 6.0 (SP1), Netscape 7.0, and Netscape Communicator 4.74.

Table 1 Livelink Records Management Tested Configurations			
RMA	OS	DBMS	Note
Livelink Records Management with Security Module	Windows 2000 Professional	SQL 7	Baseline test
Livelink Records Management with Security Module	Windows 2000 Advanced Server	SQL 2000	
Livelink Records Management with Security Module	Windows 2000 Server	Oracle 8.1.7	
Livelink Records Management without Security Module	Windows 2000 Advanced Server	SQL 2000	
Livelink Records Management without Security Module	Windows 2000 Server	Oracle 8.1.7	
Livelink Records Management without Security Module	Solaris 2.8	Oracle 8.1.7	March-April 2003
Livelink Records Management without Security Module	Solaris 2.9	Oracle 9i	March-April 2003
Livelink Records Management with Security Module	Solaris 2.9	Oracle 9i	March-April 2003

3.   RMA Mandatory Requirements

3.1   Managing Records [C2.1.1.]

Livelink Records Management manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in their original, native file format. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the user interface.

3.2   Accommodating Dates and Date Logic [C2.1.2.]

Livelink Records Management stores and displays dates using a 4-digit year format, and recognizes leap years including the year 2000. The product accepts user input of valid dates from current, previous, and future centuries.

3.3   Implementing Standard Data [C2.1.3.]

Livelink Records Management provides the capability to implement standard data. Records managers create data entry templates. They can assign default values and pick lists to user-defined metadata fields to assist the user in filling out the templates.

Livelink Records Management can be configured with all the data elements as defined in DoD 5015.2-STD. The records manager can also configure Livelink Records Management with additional fields for custom use. Custom fields (referred to as Categories in Livelink) are added to the data entry templates by granting users and/or groups access to the Categories.

3.4 Backward Compatibility [C2.1.4.]

This is the first test for this product against version two of DoD 5015.2-STD[1], therefore test data was not available to verify backwards compatibility.

3.5 Accessibility [C2.1.5.]

Open Text provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed report. Open Text's VPATs are also available online at:
http://www.section508.gov/index.cfm?FuseAction=Search&SearchType=ListProductsCompany&companyid=729

3.6 Implementing File Plans [C2.2.1.]

Livelink Records Management provides the required capabilities for creating and maintaining disposition instructions and file plans.

Disposition instructions are created separately and assigned to record plan components when creating the file plan categories. If a disposition instruction is assigned at the file level, components under that level inherit the same disposition instruction unless another disposition instruction is specified for that component.

Access to the associated Livelink Records Management functions is granted/restricted through the assignment of privileges to groups and/or users. Livelink Records Management provides support for multiple levels of file plan access. During the test "privileged" users were able to create and manage folders.

3.7 Scheduling Records [C2.2.2.]

Livelink Records Management automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule files by assigning a different disposition instruction to the file or altering the retention period (which reschedules all records associated with that schedule).

3.8 Declaring and Filing Records [C2.2.3.]

Users file directly into the Livelink repository from within the main web client by selecting "Add New Item - Document" from the main user interface. Users navigate through the file system to select the electronic file, complete the record profile, select a file code, and mark the document "Official" to declare the document as a record.

At the time of filing, Livelink Records Management assigns a unique record identifier and a date/time stamp to each record. The date/time stamp serves as the required Date Filed profile field. Users cannot modify either field.

3.9 Filing E-mail Messages [C2.2.4.]

Livelink Records Management provides the capability to file e-mail messages from MS Outlook. Livelink Records Management automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Publication Date, and Subject record profile fields.

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[1] Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

When filing Outlook e-mail that has an attachment(s), Livelink Records Management presents the user with two filing options:

- **E-mail and Attachment as a Single Record**. Stores the e-mail and attachment(s) as an .msg file. When viewed in its native application (MS Outlook), the message and attachments are displayed in their original form.
- **E-mail and Each Attachment as a Record**. Stores the e-mail as an .msg file (which includes the attachments) and, in addition, stores each attachment separately in its native file format.

Additionally, users can drag an attachment from the e-mail message and drop it onto Livelink Explorer, complete the record profile, and file the record into Livelink Records Management.

Livelink Records Management also allows users to file e-mail upon sending, if desired.

3.10   Storing Records [C2.2.5.]

Livelink Records Management uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions assigned at the category, folder and document levels determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records from the repository.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 7, 2000, and Oracle 8.1.7, 9i provided the databases during the compliance tests.

3.11   Screening Records [C2.2.6.1.]

Records managers perform screening functions using the Disposition Search template in the Records Management workspace. From here, they design queries and reports for information relating to folders or records that are qualified for disposition, including transfer, accession, or destruction. Records managers can enter a future date to calculate disposition for planning purposes.

3.12   Closing Record Folders [C2.2.6.2.]

Livelink Records Management offers records managers and privileged users the ability to close folders by assigning edit privileges to record category metadata. Privileged users can only close folders in the record categories in which they have been assigned folder management privileges. When the records manager checks the "Closed Flag" users are prevented from assigning new documents to that folder as it is no longer selectable.

3.13   Cutting Off Record Folders [C2.2.6.3.]

To cut off record folders, records managers use the Disposition Search template in the Records Management workspace to search for folders due for cutoff. They select the folder they wish to perform cutoff on from the search results and change the "Status" metadata for that folder to "CUT". By cutting off the folder, all records within that folder are cut off as well. Records managers define Cut Off stages within the disposition instructions so that folders that are cut off prior to their scheduled date will still become eligible for their next disposition action at the correct time.

3.14   Freezing/Unfreezing Records [C2.2.6.4.]

Livelink Records Management provides the ability to freeze and unfreeze records at all levels of the file plan. If a record series is frozen, all files, folders, and documents in that series do not qualify for disposition. Once a hold is applied to a record, no more disposition actions can be taken on that record.

3.15   Transferring Records [C2.2.6.5.]

Records managers define multiple phases within the disposition instructions to distinguish between record transfers and record accessions. In both cases, the records are removed from the repository, however, records managers can choose to retain the metadata of the transferred records in the system by including an export phase in the disposition schedule. Exporting the records creates a copy of the records due for transfer, while allowing records managers to retain the metadata in the RMA until receipt of successful transfer is received.

To search for folders due for accession or transfer, the records manager queries the database using the Disposition Search template in the Records Management workspace. Livelink Records Management presents a list of records that qualify for transfer and the records manager verifies that they should be transferred. Livelink Records Management then writes the affected electronic records and record metadata to a user specified directory and deletes these items from the repository and database. The extracted metadata is in text format.

3.16   Destroying Records [C2.2.6.6.]

To destroy records, the records manager uses the Disposition Search template to search for records due for destruction, selects them, and verifies that they should be destroyed. Livelink Records Management then deletes the records from the repository and database.

Records cannot be reconstructed once they have been deleted.

3.17   Cycling Vital Records [C2.2.6.7.]

Livelink Records Management provides the ability to gather records based on cycling dates and to do updates of cycle dates after records have been reviewed. There is logic attached to the vital record "Next Review" date field that will send e-mail to the records manager for the owner of the record when the record is due for vital records review.

3.18   Searching for and Retrieving Records [C2.2.6.8.]

Livelink Records Management provides the required capability for searching for and retrieving records. Inter-field operators are available in the event the user wants to perform nested searches. Users also have an opportunity to select exactly what fields should be presented in the search results by using the Customizable Search Interface. Livelink Records Management allows users to export copies of the records to their hard drives.

3.19   Access Controls [C2.2.7.]

Records managers assign Livelink Records Management functional access to files and folders at the user and/or group level. Permissions are set at the record category or folder level to assign filing and/or search and retrieve access to users/groups.

Livelink Records Management supports multiple-user access. During much of the certification test, two users worked simultaneously performing various functions including filing system maintenance, document filing, record retrieval, reporting, and disposition activities.

3.20   System Audits [C2.2.8.]

Administrators determine what events to log for each Livelink item type. Examples of audited events include create, move, permissions changed, delete, and copy. Livelink Records Management can also audit user events such as create, edit, delete, login, logout, and failed login.

Livelink Records Management collects the audit metadata specified in the Standard, however, it does not collect sufficient data to adequately reconstruct a user's attempt at unauthorized access.

3.21   System Management Requirements [C2.2.9.]

Operating systems (MS Windows 2000 Professional, 2000 Advanced Server, 2000 Server, Solaris 2.8, 2.9) and database management systems (SQL 7, 2000, Oracle 8.1.7, 9i) provided the required system management capabilities.

4.   Non-Mandatory Features Demonstrated

4.1   Making Global Changes [C3.2.1.]

Livelink Records Management provides the capability to make global changes to Livelink Records Management objects. When records managers change the name of a record category, all records under that category will be updated to reflect the new name. When changing the disposition instructions for a record category, the records manager is prompted to apply the change to all sub-items under that category. Records are updated accordingly.

4.2   Bulk Loading Capability [C3.2.2.]

Livelink Records Management provides bulk load capability in the form of an XML import utility. Existing file plans can be matched to fit the classification Document Type Definition (DTD) and imported into Livelink Records Management.

4.3   Interfaces to Other Software Applications [C3.2.3.]

Livelink has the capability to connect to external repositories from within the Livelink user interface using Livelink's Doorways utility. The Doorways utility allows users to navigate to other workspaces that reside outside of Livelink's repository depending on individual user's access rights. This capability is useful for providing enhanced document management capabilities, without the complexity of multiple user interfaces.

4.4   Report Writer Capability [C3.2.4.]

Livelink's report utility, LiveReports, gives authorized users the capability to access the Livelink RDBMS via SQL statements to create reports. Authorized users can set up LiveReports to return lists of items that meet certain criteria, to report statistical information about the database contents, or to change information in the database.

4.5   On-Line Help Capability [C3.2.5.]

Livelink provides on-line documentation. Users access help from the Help menu available from every Livelink screen. Users can search the contents, index, or search on a topic of their choice.

4.6   Retrieval Assistance Capability [C3.2.9.]

Livelink includes extended search capabilities to assist the user's ability to locate documents and records. Users can use natural language queries to query the database, select common themes to find additional records matching the specified criteria, and use the "Find Similar" function to locate related records. Users also have the option to search on only content, only metadata, or both content and metadata. Personal search templates can assist in executing commonly used queries and can be defined by individual users or System Administrators. In addition, Livelink provides a brokered search capability, allowing users to perform searches across multiple repositories within and external to Livelink, in a single search query.

4.7   Workflow and/or Document Management Features [C3.2.11.]

Livelink offers a set of workflow tools to allow the creation, deployment, modification, and management of business processes with no programming required. Authorized users map business processes using drag and drop icons from the palette to the map space in Livelink's Workflow Painter utility. Authorized users connect the icons to define the information flow and specify instructions for each workflow step. Workflow assignments are routed to each user's Livelink inbox; assignments can also be delivered as e-mail messages into the user's regular e-mail inbox.

Livelink includes several out-of-the-box document management features including access controls, version control, instant auditing, and change notification via online reports and e-mail alerts. Authorized users can automate document review and approval processes using the Workflow Painter.

4.8   Records Management Forms and Other Forms [C3.2.12.]

Livelink PDF Forms Professional is an optional module that provides an electronic forms capability for Livelink. Using the Forms module, users can collaboratively create, manage, and track electronic forms and integrate them into business processes that have been automated using workflow. Completed forms in Livelink are indexed and can be searched based on field values.

4.9   Print File Label Capability [C3.2.13.]

Livelink Records Management has the capability to print labels for physical objects. The labels are designed using XML, and can be customized to include color, rotate fields, and add barcodes.

4.10   Internal Viewer Capability [C3.2.14.]

Livelink uses INSO viewers to view documents from within Livelink. The Inso Viewer has the capability to view over 250 different document types. Livelink can be configured to open records in their native application, or in the Inso viewer.

4.11   Web Capability [C3.2.15.]

Livelink Records Management is a fully web-based RMA. All records (physical and electronic) and records management functions are URL accessible. The application is available through IE 6.0, Netscape 7.0, and Netscape Communicator 4.74.

5.   Management of Classified Records

Livelink Records Management satisfied all Chapter 4 requirements. The following paragraphs highlight Livelink Records Management's implementation of specific Chapter 4 requirements.

5.1   *Managing Classified Records [C4.1.]*

Livelink Records Management provides the capability to manage classified records using the Livelink Records Management Security Module. When the Security Module is installed, users can add metadata that describes the classified record and file it to the Livelink repository.

5.2   *Mandatory Metadata [C4.1.1.]*

Livelink Records Management comes with all the classified metadata elements as specified in Table C4.T1. of the Standard.

5.3   *Classification Guides [C4.1.10.]*

Livelink Records Management provides the capability to establish an automatically triggered classification guide. When a designated classification guide indicator is entered in the "Derived From" field, the "Reason(s) for Classification," "Initial Classification," "Current Classification," and "Declassify On" fields are automatically populated. Additionally, users will only see those classification guide indicators that match their security profile.

5.4   *Editing Records [C4.1.12.]*

Authorized users can search for classified records due for downgrade or declassification. If the classification status of the record changes, authorized users are allowed to edit the classified record metadata.

5.5   *Restricted Data and Formerly Restricted Data [C4.1.13.]*

Livelink Records Management provides the capability to handle classified records with the "Restricted Data" and "Formerly Restricted Data" supplemental markings. When a user selects either marking, any data in the "Downgrade On" and "Declassify On" fields will not be saved.

5.6   *Record History Audit [C4.1.16.]*

Livelink Records Management's record history audit captures replaced metadata values, and the user who entered that value. Users can view, copy, save, and print the audit log based on their access permissions. The capability to delete the audit log is reserved for authorized users only.

5.7   Access Control [C4.1.20.]

Livelink Records Management provides the capability to restrict access to records and their metadata based on access criteria. Users are assigned a classification (security) level of Top Secret, Secret, Confidential, or No Markings. Security levels are hierarchical, therefore, those users assigned a "Secret" security level will only see documents marked Secret and below.

Users are also assigned supplemental markings. Supplemental markings do not override a user's access, but work in conjunction with the user's designated classification level to partition access. Additionally, Livelink Records Management has the ability to restrict access on user-defined fields.

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